

WORLD INTELLECTUAL PROPERTY ORGANIZATION**SPECIAL UNION FOR THE INTERNATIONAL PATENT
CLASSIFICATION
(IPC UNION)**

Date	By	Version	Status	Modification
Nov 8, 2004	WIPO	1.0	obsolete	Creation
Jan 10, 2005	WIPO	1.1	obsolete	Fix DTD/ ipcr-symbol “EntryType=D”
Jan 18, 2005	WIPO	1.2	obsolete	Fix DTD /classification- level=C means Common
Jan 20, 2005	WIPO	1.3	obsolete	File name convention to include Core level version
February 28, 2005	WIPO	1.4	obsolete	Core predecessor
April 8, 2005	WIPO	1.5	published	Core predecessor format
May 2, 2005	WIPO	1.6	published	Optional parts in groups
June 8, 2005	WIPO	1.7	published	Subclass classification

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2. Introduction

The purpose of this document is to identify the changes that were made to the specification of the International Patent Classification (IPC) validity file to conform to the requirements of the IPC reform.

- The validity file specified by this document is produced by the RIPCIS system of the International Bureau (IB) for inclusion in the IT system of the IP Offices, each time a new version of the IPC becomes available.
- A single reference file is produced for both the Core and Advanced levels. From this reference file different forms of the same file or of a subset of this file can be easily produced. In the following, “validity file” refers to the reference validity file.

The format of the reference file is primarily an exchange format aiming at easy interface between IT systems of different types.

This document precisely describes the information exchanged while limiting the presence of redundant information. It will use, wherever possible, reference to International standards, in particular WIPO ST.8 and WIPO ST.36 which is under elaboration by the Standing Committee on Information Technology (SCIT).

3. Validity file version

For each new version of the IPC, the related validity file is produced which reflects the “official view”, as defined in CONOPS, at the time when this IPC version enters into force.

When both Core and Advanced level versions have the same date of entry into force, only one validity file is produced.

By convention the version of a validity file corresponds to the date of entry into force of a specific series of IPC symbols at the end of an IPC revision period.

The date of entry into force of the validity file is the date from which these IPC symbols can be used for publication purpose.

For convenience purpose, the Core level version is also indicated in the name of the file i.e.

ipcr_validity_YYYYMMDD_core_EEEE.xml

where YYYYMMDD is the corresponding version of the IPC and EEEE is the associated Core level edition.

4. Content of the file

4.1. Complete history of IPC symbol validity

The validity file contains :

- all valid IPC symbols for the current version of the Core and Advanced levels and,
- all IPC symbols which were valid in previous versions of the IPC (including indexing codes and double purpose classification symbols).

4.2. IPC validity object

The file contains a list of compound IPC validity objects, each including

- One IPC symbol
 - Descriptive part of the IPC symbol
 - Properties of the IPC symbol
 - Reference to Core predecessor valid symbol where needed
- One indication of the time period during which the symbol validity did not change, which is open if the end of the symbol validity period is not reached.

4.2.1. Information hierarchy

Since no IPC symbol applies at the section and class level, the first level where valid IPC symbols appear is the subclass level. For each IPC subclass, the validity file gives all valid IPC symbols and their history for the Core and Advanced level.

4.2.2. Descriptive part of the IPC symbol

A valid IPC symbol includes

4.2.2.1. Subclass part

The subclass part is mandatory and includes:

- Section : A to H
- Class: 01 to 99
- Subclass: A to Z

4.2.2.2. Group part

The group part is optional and always includes:

- Maingroup: 1 to 9999
- and
- Subgroup: 00 to 999999

4.2.3. IPC symbol properties

4.2.3.1. Classification level

This is a property of the IPC validity object with value in:

- P= Pre-reform (i.e., existing prior to IPC reform)
- C= Common (i.e. for symbols valid for BOTH Advanced and Core level classification)
- O= valid for Core level symbol, Obsolete for the Advanced level (i.e for Core level symbols no longer valid in the Advanced level)
- A= Advanced level (i.e. for symbols present in Advanced level ONLY)
- S= Subclass level (i.e. symbols valid only for offices classifying at Subclass level)

4.2.3.2. Entry type

value in:

- K= classification symbol (i.e. for classification purpose only)
- I= Indexing symbol (i.e. for indexing purpose only)
- D= Double purpose classification symbol (i.e. for both classification and indexing purpose)

4.2.4. Time segment

The time segment is defined as period of time during which the symbol and the following properties

- classification level,
- entry type,
- Core predecessor, and
- Scope (although not indicated in the validity file)

did not change. It is described using “From” and “To” validity dates of each concerned IPC symbol.

If a symbol is moved from Advanced level to Core level or from Core level to Advanced level, more than one record will be present for the same IPC symbol (one for each time segment when the symbol remained at the same level). Similarly, in case there is a change of scope for a symbol, the validity file will contain as many records as necessary to describe the periods during which the scope did not change for the same symbol.

The <validity-date-from> and <validity-date-to> have the same format for IPC versions before 2006 indicating the date of entry into force of the “editions” before 2006.

Correspondence between dates used and edition numbers before 2006 is given as comment in the DTD.

4.2.4.1. From validity date

First date of the IPC on which the symbol and its properties are valid in particular Classification level.

4.2.4.2. To validity date

Last date on which the symbol and its properties are valid in particular Classification level

The absence of the “To validity date” indicates that the symbol and its properties are valid in the current version of the validity file.

The presence of the “To validity date” indicates the last date in which this symbol and its properties were valid.

4.2.5. Links with other symbols

4.2.5.1. Reference to Core predecessor

This information, used only for classification symbols of the Advanced level, gives the corresponding valid symbol to be used in the Core level classification. This reference is unique and given by the descriptive part of the referenced Core level symbol.

4.3. Not covered by the Validity file

No information on the subject matter is put in the validity file other than the indication of a change in scope (without description of old and new scopes).

5. Format

XML is used to facilitate the exchange of information. Therefore, this file is not expected to be opened entirely in an application (DOM model), but instead is expected to be parsed on the fly for appropriate transformation and loading in the IP office local IT system (e.g., Simple Access XML API, SAXON, XERCES (Apache), Omnimark)

The validity file will make use of name spaces and Xlink technics.

Factorization and reference to Core level symbols are used to limit redundant information in the file.

The XML representation of requirements as expressed under section 2 is as follows:

5.1. Tags

- The validity file is made of a set of subclass validity lists:
ipcr-validity-list (subclass-list +)
- Minimization of redundant information by factorization at subclass level: Each subclass list of valid symbols is described by one tag per subclass container (including the description of the subclass part of the contained symbols), and one tag for each valid symbol and its properties inside the subclass.

subclass-list (subclass-description, ipcr-symbol+)

- The subclass description part is made of section, class, subclass:
subclass-description (section, class, subclass)
- The < ipcr-symbol > tag has the properties as attributes. It is made of optional main group (<main-group>), and subgroup (<subgroup>) tags. In the case of a subclass valid symbol, <main-group> and <subgroup> are absent:
ipcr-symbol (main-group?, subgroup?)

5.2. Attributes

Attributes are set for < ipcr-symbol > tags:

- classification-level : Mandatory Value in (P, C, O, A, S)

- entry-type : Mandatory Value in (K,I,D)
- validity-date-from : Mandatory Value: valid date in YYYYMMDD format
- validity-date-to : Optional Value: valid date in YYYYMMDD format
- core-predecessor : Optional for Advanced Level classification symbols only

Value: fixed length (14 characters) string made of IPCsymbol with left zero padding for the main group on 4 positions (ST8.) and subgroup part on 6 positions with right zero padding, (e.g. G11B0003085000 to represent G11B 3/085). Non significant zeros should be removed to comply with IPC business rules (e.g. subgroup part should be at least 2 characters) before re-use as value for <main-group> and <subgroup>.







6. Samples

Parts of IPC subclasses H04L, H04M and C05C are used to illustrate the specification. As the validity file in XML format is not meant to be read by human beings, only essential records are shown in the examples (for easier legibility).

H04M part is summarized as follows:

Decision June 2006:

1. Create H04M 2/00 with the intention that it will become Core Level in 01/2009).
2. Delete H04M 1/00 and transfer it to H04M 2/00.

	1/2006	6/2006	1/2009
H04M	C	C	C
H04M 1/00	C 	O 	NV*
H04M 1/07	A	NV*	NV*
H04M 2/00		A 	C 
H04M 2/07		A 	A 

*NV : Not Valid anymore



: Core predecessor

6.1. Sample 1: January 1, 2006 Validity file extract

6.1.1. Sample 1:pre-reform IPC symbol

- H04L, H04L 15/00, H04L 15/03, H04L 15/04 H04M and C05C existed prior to reform IPC symbols. C05C 1/00 double purpose classification symbol is not valid after the IPC reform.

6.1.2. Sample1: Core level symbol

- H04L becomes Subclass level symbol after IPC reform 2006
- H04L 15/00 becomes Core level symbol after IPC reform 2006
- H04M becomes Subclass level symbol after IPC reform 2006
- H04M 1/00 becomes Core level symbol after IPC reform 2006

6.1.3. Sample1: Advanced level symbol

- H04L 15/03 becomes Advanced Level symbol after IPC reform 2006 with H04L 15/00 Core predecessor
- H04L 15/04 becomes Advanced Level symbol after IPC reform 2006 with H04L 15/00 Core predecessor
- H04M 1/07 becomes Advanced Level symbol after IPC reform 2006 with H04M 1/00 as Core predecessor

```

< ipcr-validity-list>
  <subclass-list>
    < subclass-description>
      < section>C</section>
      <class> 05</class>
      < subclass > C </subclass>
    < /subclass-description>
    <ipcr-symbol classification-level="P" entry-type="K" validity-date-from="19680901"
                                     validity-date-to ="20051231"/>
    <ipcr-symbol classification-level="S" entry-type="K" validity-date-from="20060101"/>
    <ipcr-symbol classification-level="P" entry-type="D" validity-date-from="19680901"
                                     validity-date-to ="20051231">
      <main-group> 1 </main-group>
      <subgroup> 00 </subgroup>
    </ipcr-symbol>
    <ipcr-symbol classification-level="C" entry-type="K" validity-date-from="20060101">
      <main-group> 1 </main-group>
      <subgroup> 00 </subgroup>
    </ipcr-symbol>
    ...
  </ subclass-list >
  <subclass-list>
    < subclass-description>
      < section>H</section>
      <class> 04 </class>
      < subclass > L </subclass>
    < /subclass-description>
    < ipcr-symbol classification-level="P" entry-type="K" validity-date-from="19680901"
                                     validity-date-to ="20051231"/>
    < ipcr-symbol classification-level="S" entry-type="K" validity-date-from="20060101"/>
    <ipcr-symbol classification-level="P" entry-type="K" validity-date-from="19680901"
                                     validity-date-to ="20051231">
      <main-group> 15 </main-group>
      <subgroup> 00 </subgroup>
    </ipcr-symbol>
    <ipcr-symbol classification-level="C" entry-type="K" validity-date-from="20060101">
      <main-group> 15 </main-group>
      <subgroup> 00 </subgroup>
    </ipcr-symbol>
    <ipcr-symbol classification-level="P" entry-type="K" validity-date-from="19740701"
                                     validity-date-to ="20051231">
      <main-group> 15 </main-group>
      <subgroup> 03 </subgroup>
    </ipcr-symbol>

```



```

    <ipcr-symbol classification-level="A" entry-type="K" validity-date-from="20060101"
                                     core-predecessor="H04L0015000000">
        <main-group> 15 </main-group>
        <subgroup> 03 </subgroup>
    </ipcr-symbol>
    <ipcr-symbol classification-level="P" entry-type="K" validity-date-from="19740701"
                                     validity-date-to="20051231">
        <main-group> 15 </main-group>
        <subgroup> 04 </subgroup>
    </ipcr-symbol>
    <ipcr-symbol classification-level="A" entry-type="K" validity-date-from="20060101"
                                     core-predecessor="H04L0015000000">
        <main-group> 15 </main-group>
        <subgroup> 04 </subgroup>
    </ipcr-symbol>

</ subclass-list >
<subclass-list>
    < subclass-description>
        < section>H</section>
        <class> 04 </class>
        < subclass > M </subclass>
    < /subclass-description>
    < ipcr-symbol classification-level="P" entry-type="K" validity-date-from="19680901"
                                     validity-date-to="20051231"/>
    < ipcr-symbol classification-level="S" entry-type="K" validity-date-from="20060101" />
    <ipcr-symbol classification-level="P" entry-type="K" validity-date-from="19680901"
                                     validity-date-to="20051231">
        <main-group> 1 </main-group>
        <subgroup> 00 </subgroup>
    </ipcr-symbol>
    <ipcr-symbol classification-level="C" entry-type="K" validity-date-from="20060101">
        <main-group> 1 </main-group>
        <subgroup> 00 </subgroup>
    </ipcr-symbol>
    <ipcr-symbol classification-level="A" entry-type="K" validity-date-from="20060101"
                                     core-predecessor="H04M0001000000">
        <main-group> 1 </main-group>
        <subgroup> 07 </subgroup>
    </ipcr-symbol>

    ...
</ subclass-list >
</ ipcr-validity-list >

```

6.2. Sample 2: June 1, 2006 Validity file extract

This second example illustrates the following cases:

- (i) the move of a symbol (H04L 15/03) from the Advanced level to the Core level,
- (ii) creation (temporarily) in the Advanced level of the H04M 2/00 which will become Core level symbol at the end of the Core level revision period
- (iii) the deletion in the Advanced level (but not in the Core level) of H04M 1/00 symbol and its transfer to H04M 2/00,
- (iv) the deletion in the Advanced level of H04M 1/07,

- (v) creation in the Advanced level of H04M 2/07 (resulting from the transfer of H04M 1/07)
and,
(iv) the side effect on H04M 2/07 (its Core level predecessor).

6.2.1. Pre-reform IPC symbol

- H04L, H04L 15/00, H04L 15/03, H04M and C05C pre reform IPC symbols
- C05C 1/00 double purpose classification symbol is not valid after the IPC reform.

6.2.2. Sample 2: Core level symbol

- H04L Subclass level symbol after IPC reform 2006 (as in sample1)
- H04L 15/00 Core level symbol after IPC reform 2006 (as in sample1)
- H04L 15/03 was a symbol valid in the Advanced Level as from January 2006 with H04L 15/00 as Core predecessor
- H04M Subclass level symbol after IPC reform 2006
- H04M 1/00 remains Core level symbol but is obsolete for the Advanced level

6.2.3. Sample 2: Advanced level symbol

- H04M 2/00 new symbol in the Advanced Level until the end of the Core level revision period
- H04M 1/07 is no longer valid as an Advanced Level symbol after June1, 2006
- H04M 2/07 Advanced Level symbol created in June 2006 and gets H04M 1/00 as Core predecessor until the end of the Core level revision period

```
< ipcr-validity-list>
  <subclass-list>
    < subclass-description>
      < section>C</section>
      <class> 05</class>
      < subclass > C </subclass>
    < /subclass-description>
    <ipcr-symbol classification-level="P" entry-type="K" validity-date-from="19680901"
                                     validity-date-to="20051231"/>
    <ipcr-symbol classification-level="S" entry-type="K" validity-date-from="20060101"/><ipcr-
symbol classification-level="P" entry-type="D" validity-date-from="19680901"
                                     validity-date-to="20051231">
      <main-group> 1 </main-group>
      <subgroup> 00 </subgroup>
    </ipcr-symbol>
    <ipcr-symbol classification-level="C" entry-type="K" validity-date-from="20060101">
      <main-group> 1 </main-group>
      <subgroup> 00 </subgroup>
    </ipcr-symbol>
    ...
  </ subclass-list >
```

```

<subclass-list>
  < subclass-description>
    < section>H</section>
    <class> 04 </class>
    < subclass > L </subclass>
  </subclass-description>
  < ipcr-symbol classification-level="P" entry-type="K" validity-date-from="19680901"
                                validity-date-to ="20051231"/>
  < ipcr-symbol classification-level="S" entry-type="K" validity-date-from="20060101"/>

  <ipcr-symbol classification-level="P" entry-type="K" validity-date-from="19680901"
                                validity-date-to ="20051231">
    <main-group> 15 </main-group>
    <subgroup> 00 </subgroup>
  </ipcr-symbol>
  <ipcr-symbol classification-level="C" entry-type="K" validity-date-from="20060101">
    <main-group> 15 </main-group>
    <subgroup> 00 </subgroup>
  </ipcr-symbol>

  <ipcr-symbol classification-level="P" entry-type="K" validity-date-from="19740701"
                                validity-date-to ="20051231">
    <main-group> 15 </main-group>
    <subgroup> 03 </subgroup>
  </ipcr-symbol>
  <ipcr-symbol classification-level="A" entry-type="K" validity-date-from="20060101"
                                " core-predecessor= "H04L0015000000">
    <main-group> 15 </main-group>
    <subgroup> 03 </subgroup>
  </ipcr-symbol>

</ subclass-list >
<subclass-list>
  < subclass-description>
    < section>H</section>
    <class> 04 </class>
    < subclass > M </subclass>
  </subclass-description>
  < ipcr-symbol classification-level="P" entry-type="K" validity-date-from="19680901"
                                validity-date-to ="20051231"/>
  < ipcr-symbol classification-level="S" entry-type="K" validity-date-from="20060101" />
  <ipcr-symbol classification-level="P" entry-type="K" validity-date-from="19680901"
                                validity-date-to ="20051231">
    <main-group> 1 </main-group>
    <subgroup> 00 </subgroup>
  </ipcr-symbol>
  <ipcr-symbol classification-level="C" entry-type="K" validity-date-from="20060101"
                                validity-date-to ="20060531">
    <main-group> 1 </main-group>
    <subgroup> 00 </subgroup>
  </ipcr-symbol>
  <ipcr-symbol classification-level="O" entry-type="K" validity-date-from="20060601">
    <main-group> 1 </main-group>
    <subgroup> 00 </subgroup>
  </ipcr-symbol>
  <ipcr-symbol classification-level="A" entry-type="K" validity-date-from="20060601"

```

```

                                core-predecessor= "H04M0001000000">
    <main-group> 2 </main-group>
    <subgroup> 00 </subgroup>
</ipcr-symbol>
<ipcr-symbol classification-level="A" entry-type="K" validity-date-from="20060101"
    validity-date-to="20060531" core-predecessor= "H04M0001000000">
    <main-group> 1 </main-group>
    <subgroup> 07 </subgroup>
</ipcr-symbol>
<ipcr-symbol classification-level="A" entry-type="K" validity-date-from="20060601"
    core-predecessor= "H04M0001000000">
    <main-group> 2 </main-group>
    <subgroup> 07 </subgroup>
</ipcr-symbol>
...
</subclass-list >
</ipcr-validity-list >

```

6.3. Sample 3: January 1, 2009 Validity file extract

This example traces the move of a symbol (H04L 15/03) from the Advanced level to the Core level and the case of H04M, H04M 1/00, H04M 1/07, H04M 2/00 symbols described under Sample 2: H04M 2/00 becomes valid Core level symbol, it is now possible that the Core predecessor of the advanced level symbol H04M 2/07 becomes H04M 2/00.

6.3.1. Pre-reform IPC symbol

- H04L, H04L 15/00, H04L 15/03, H04M and C05C pre reform IPC symbols. C05C 1/00 double purpose classification symbol is not valid after the IPC reform.

6.3.2. Sample 3: Core level symbol

- H04L Subclass level symbol after IPC reform 2006 (as in sample1)
- H04L 15/00 Core level symbol after IPC reform 2006 (as in sample1)
- H04L 15/03 was a symbol valid in the Advanced Level as from January 2006 with H04L 15/00 as Core predecessor. It is moved from Advanced Level to Core level at the end of the 2006-2009 Core level revision period: in **bold** in sample 3, (i) addition of the validity-date-to attribute of the advanced level fragment shown in sample 1 and (ii) new fragment for the same symbol in Core level.
- H04M Subclass level symbol after IPC reform 2006
- H04M 1/00 no longer valid as Core level symbol
- H04M 2/00 becomes valid as BOTH Core and Advanced level symbol (and can be Core predecessor for H04M 2/07)

6.3.3. Sample 3: Advanced level symbol

- H04M 2/07 Advanced Level symbol can get as Core predecessor H04M 2/00

```

< ipcr-validity-list>
  <subclass-list>
    < subclass-description>
      < section>C</section>
      <class> 05</class>
      < subclass > C </subclass>
    < /subclass-description>
    <ipcr-symbol classification-level="P" entry-type="K" validity-date-from="19680901"
      validity-date-to ="20051231"/>
    <ipcr-symbol classification-level="S" entry-type="K" validity-date-from="20060101"/>
    <ipcr-symbol classification-level="P" entry-type="D" validity-date-from="19680901"
      validity-date-to ="20051231">
      <main-group> 1 </main-group>
      <subgroup> 00 </subgroup>
    </ipcr-symbol>
    <ipcr-symbol classification-level="C" entry-type="K" validity-date-from="20060101">
      <main-group> 1 </main-group>
      <subgroup> 00 </subgroup>
    </ipcr-symbol>
    ...
  </ subclass-list >

  <subclass-list>
    < subclass-description>
      < section>H</section>
      <class> 04 </class>
      < subclass > L </subclass>
    < /subclass-description>
    < ipcr-symbol classification-level="P" entry-type="K" validity-date-from="19680901"
      validity-date-to ="20051231"/>
    < ipcr-symbol classification-level="S" entry-type="K" validity-date-from="20060101"/>
    <ipcr-symbol classification-level="P" entry-type="K" validity-date-from="19680901"
      validity-date-to ="20051231">
      <main-group> 15 </main-group>
      <subgroup> 00 </subgroup>
    </ipcr-symbol>
    <ipcr-symbol classification-level="C" entry-type="K" validity-date-from="20060101">
      <main-group> 15 </main-group>
      <subgroup> 00 </subgroup>
    </ipcr-symbol>
    <ipcr-symbol classification-level="P" entry-type="K" validity-date-from="19740701"
      validity-date-to ="20051231">
      <main-group> 15 </main-group>
      <subgroup> 03 </subgroup>
    </ipcr-symbol>
    <ipcr-symbol classification-level="A" entry-type="K" validity-date-from="20060101"
      validity-date-to ="20081231" core-predecessor="H04L0015000000">
      <main-group> 15 </main-group>
      <subgroup> 03 </subgroup>
    </ipcr-symbol>
    <ipcr-symbol classification-level="C" entry-type="K" validity-date-from="20090101">
      <main-group> 15 </main-group>
      <subgroup> 03 </subgroup>
  
```

```

    </ipcr-symbol>

</ subclass-list >
<subclass-list>
  < subclass-description>
    < section>H</section>
    <class> 04 </class>
    < subclass > M </subclass>
  < /subclass-description>
  < ipcr-symbol classification-level="P" entry-type="K" validity-date-from="19680901"
    validity-date-to ="20051231"/>
  < ipcr-symbol classification-level="S" entry-type="K" validity-date-from="20060101" />
  <ipcr-symbol classification-level="P" entry-type="K" validity-date-from="19680901"
    validity-date-to ="20051231">
    <main-group> 1 </main-group>
    <subgroup> 00 </subgroup>
  </ipcr-symbol>
  <ipcr-symbol classification-level="C" entry-type="K" validity-date-from="20060101"
    validity-date-to ="20081231">
    <main-group> 1 </main-group>
    <subgroup> 00 </subgroup>
  </ipcr-symbol>

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